



PATENT
0505-4002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

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Filed: March 8, 2001

SEP 18 2001

Art Unit: 2165

Examiner:

Technology Center 2100

Serial No.: 09/801,848

Confirmation No.: 1156

Title: PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

☒ before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: September 14, 2001

260 West 52 St. Ste. 27B
New York, NY 10019
voice/fax 212 245-3940

Brenda Pomerance

Brenda Pomerance
Reg. No. 36,894



07P-2165
PATENT
0505-4002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2165

Examiner:

Serial No.: 09/801,848

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Title: PLATFORM FOR MARKET PROGRAMS
AND TRADING PROGRAMS

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Date: September 14, 2001

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CORRESPONDENCE ADDRESS:

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212 245-3940

PATENT
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

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Serial No.: 09/801,848

Title: PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS



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Washington, DC 20231

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☒ before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: June 26, 2002

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New York, NY 10019
voice/fax 212 245-3940

Brenda Pomerance
Brenda Pomerance
Reg. No. 36,894

PATENT
0505-4002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2165

Serial No.: 09/801,848

Title: PLATFORM FOR MARKET PROGRAMS
AND TRADING PROGRAMS



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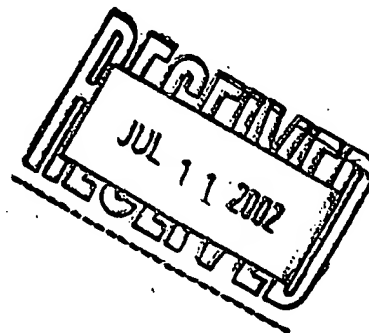
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Brenda Pomerance

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New York, NY 10019
212 245-3940



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

**Title of
Invention**

PLATFORM FOR MARKET PROGRAMS AND TRADING
PROGRAMS

Application Number : 09/801848
Confirmation Number: 1156
First Named Applicant: Christopher Keith
Attorney Docket Number: 0505-4002
Art Unit:
Examiner:
Search string: (6285989).pn



US Patent Documents

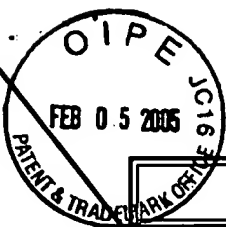
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	1	6285989	2001-09-04	Shoham			

Signature


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Electronic Version v18
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Title of Invention	PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS						
Application Number: 09/801848							
Confirmation Number: 1156							
First Named Applicant: Christopher Keith							
Attorney Docket Number: 0505-4002							
Search string: (6285989).pn.							
US Patent Documents		RECEIVED FEB 11 2005 GROUP 3600					
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	6285989	2001-09-04	Shoham			
Signature							
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(Not for submission under 37 CFR 1.99)

Application Number	09801848
Filing Date	2001-03-08
First Named Inventor	Christopher Keith
Art Unit	3693
Examiner Name	James M. Albert
Attorney Docket Number	IVEN125462

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	2	4346442	A	1982-08-24	Musmanno	
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	6	5077665	A	1991-12-31	Silverman	
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	8	5148365	A	1992-09-15	Dembo	

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9	5253165	A	1993-10-12	Leiseca	
10	5297031	A	1994-03-22	Guterman	
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12	5412804	A	1995-05-02	Krishna	
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16	5787402	A	1998-07-28	Potter	
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	20	5924083	A	1999-07-13	Silverman	
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	30	6236980	B1	2001-05-22	Reese	

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31	6278982	B1	2001-08-21	Korhammer	
32	6317728	B1	2001-11-13	May	
33	6321212	B1	2001-11-20	Lange	
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37	6418419	B1	2002-07-09	Nieboer	
38	6421653	B1	2002-07-16	May	
39	6493682	B1	2002-12-10	Horrigan	
40	6505174	B1	2003-01-07	Keiser	
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Examiner Name	James M. Albert	
Attorney Docket Number	IVEN125462	

	42	6625583	B1	2003-09-23	Silverman	
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Attorney Docket Number	IVEN125462

1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>
2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3... >[retrieved November 3, 2005].	<input type="checkbox"/>
5	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, < http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml > [retrieved April 5, 2004].	<input type="checkbox"/>

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Filing Date	2001-03-08
First Named Inventor	Christopher Keith
Art Unit	3693
Examiner Name	James M. Alpert
Attorney Docket Number	IVEN125462

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	2	7058601	B1	2006-06-06	Paiz	

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Attorney Docket Number	IVEN125462

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	1	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3rd ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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